

Full Text PA-95-050

INDEPENDENT SCIENTIST AWARD

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National Institute of Child Health and Human Development

National Institute on Deafness and Other Communication Disorders

National Institute of Dental Research

National Institute of Diabetes and Digestive and Kidney Diseases

National Institute on Drug Abuse

National Institute of Environmental Health Sciences

National Heart, Lung, and Blood Institute

National Institute of Mental Health

Application Receipt Dates: February 1, June 1, and October 1

PURPOSE

The Independent Scientist Award (ISA) (K02) provides support for newly independent scientists who can demonstrate the need for a period of intensive research focus as a means of enhancing their research careers. This award is intended to foster the development of outstanding scientists and enable them to expand their potential to make significant contributions to their field of research. This award replaces two existing career development awards, the Research

Scientist Development Award (K02) and the Research Career Development Award (K04). Individuals who were eligible to apply for either of these awards are now directed to apply for a K02 award. Therefore, this Program Announcement (PA) supersedes all previous K02 and K04 program announcements.

The NIH recently reviewed its career awards (K-series) used to develop the research capabilities of clinicians and other scientists needed to carry out the nation's research mission in the biomedical and behavioral sciences. This evaluation resulted in several changes: (1) the total number of K mechanisms were reduced from 19 to six; (2) the review criteria were refined to clarify the career development goals of the K award; and (3) K award applications will be assigned to initial review groups managed by the prospective funding institute or center to which the application has been assigned.

HEALTHY PEOPLE 2000

The Public Health Service (PHS) is committed to achieving the health promotion and disease prevention objectives of "Healthy People 2000," a PHS-led national activity for setting priority areas. This PA, Independent Scientist Award, is related to the priority area of human resource development. Potential applicants may obtain a copy of "Healthy People 2000" (Full Report: Stock No. 017-001-00474-0 or Summary Report: Stock No. 017-001-00473-1) from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-9325 (telephone 202/783-3238).

ELIGIBILITY REQUIREMENTS

The candidate must have a doctoral degree and peer-reviewed, independent, research support at the time the award is made. The candidate must also be willing to spend a minimum of 75 percent effort conducting research and research career development during the period of the award. In addition, the candidate must demonstrate that the requested period of research focus will foster his/her career as highly productive scientist in the indicated field of research. Scientists whose work is primarily theoretical may apply for this award in the absence of external research grant support.

Applications may be submitted on behalf of candidates by domestic, non-Federal organizations, public or private, such as medical, dental, or nursing schools or other institutions of higher education. Minorities and women are encouraged to apply. Candidates must be

U.S. citizens or noncitizen nationals, or must have been lawfully admitted for permanent residence and possess an Alien Registration Receipt Card (I-151 or I-551) or some other verification of legal admission as a permanent resident. Noncitizen nationals, although not U.S. citizens, owe permanent allegiance to the U.S. They are usually born in lands that are not states, but are under U.S. sovereignty, jurisdiction, or administration. Individuals on temporary or student visas are not eligible.

MECHANISM OF SUPPORT

Awards in response to this program announcement will use the K02 mechanism. Planning, direction, and execution of the program will be the responsibility of the candidate. However, the institution must demonstrate a commitment to the candidate and the candidate's goals for career development. The project period for the K02 award is five years. Awards may be renewed once at the discretion of the NIH awarding unit. Not all of the NIH awarding components allow renewal of this award. Prospective candidates are advised to discuss this issue with the appropriate contact listed under INQUIRIES.

RESEARCH OBJECTIVES

A. Environment: The institution should have a demonstrated commitment to research and a commitment to the continuing development of the candidate as an independent scientist. The institution must provide assurance that the candidate is an integral part of its research and academic program.

B. Program: The award provides five consecutive, 12 month appointments. At least 75 percent of the recipient's full-time professional effort must be devoted to the program and the remainder devoted to other research-related and/or teaching pursuits consistent with the objectives of the award.

C. Allowable Costs:

1. Salary: The NIH will provide salary and fringe benefits for the K recipient. The salary limits are not uniform throughout the NIH and are determined independently by each component of the NIH. Therefore, prospective candidates should contact the NIH component to which the application is targeted to ascertain the maximum contribution to the candidate's salary.

The institution may supplement the NIH contribution up to a level that is consistent with the institution's salary scale; however, supplementation may not be from Federal funds unless specifically authorized by the Federal program from which such funds are derived.

In no case, may PHS funds be used for salary supplementation.

Institutional supplementation of salary must not require extra duties or responsibilities that would interfere with the purpose of the ISA. Under expanded authorities, however, institutions may rebudget funds within the total costs awarded to cover salaries consistent with the institution's salary scale.

The total salary requested must be based on a full-time, 12-month staff appointment. It must be consistent both with the established salary structure at the institution and with salaries actually provided by the institution from its own funds to other staff members of equivalent qualifications, rank, and responsibilities in the department concerned. If full-time, 12-month salaries are not currently paid to comparable staff members, the salary proposed must be appropriately related to the existing salary structure.

2. Research Development Support: It is expected that candidates for a K02 award will have research support at the time of the award. However, there are some research specialties in which only minimal research support is needed, i.e., theoreticians and computer scientists. In such cases, incidental research expenses may be provided at the discretion of the individual institute or center. Candidates may request funds to offset the cost of tuition, fees, and books related to career development. Applicants should request additional information from the relevant NIH institute or center listed under INQUIRIES.

3. Ancillary Personnel Support: Salary for secretarial, technical, and/or administrative assistance, etc., is not allowed.

4. Indirect costs: Indirect costs will be reimbursed at eight percent of modified total direct costs, or at the actual indirect cost rate, whichever is less.

D. Evaluation: In carrying out its stewardship of human resource related programs, the NIH, at some point in the future, may begin requesting information essential to an assessment of the effectiveness of this program. Accordingly, recipients are hereby notified, that they may be contacted after the completion of this award for periodic updates on various aspects of their employment history, publications, support from research grants or contracts, honors and awards, professional activities, and other information helpful in evaluating the impact of the program.

E. Other Income: Fees resulting from clinical practice, professional consultation, or other comparable activities required by the research and research-related activities of this award may not be retained by the career award recipient. Such fees must be assigned to the grantee institution for disposition by any of the following methods:

The funds may be expended by the grantee institution in accordance with the NIH policy on supplementation of career award salaries and to provide fringe benefits in proportion to such supplementation. Such salary supplementation and fringe benefit payments must be within the established policies of the grantee institution.

The funds may be used for health-related research purposes.

The funds may be paid to miscellaneous receipts of the U.S. Treasury. Checks should be made payable to the Department of Health and Human Services, NIH and forwarded to the Director, Division of Financial Management, NIH, Bethesda, Maryland 20892. Checks must identify the relevant award account and reason for the payment.

Awardees may retain royalties and fees for activities such as scholarly writing, service on advisory groups, or honoraria from other institutions for lectures or seminars, provided these activities remain incidental and provided that the retention of such pay is consistent with the policies and practices of the grantee institution.

Usually, funds budgeted in and institute-supported research or training grant for the salaries or fringe benefits of individuals, but freed as a result of a career award, may not be rebudgeted. An institute will give consideration to approval for use of released funds only under unusual circumstances. Any proposed retention of funds released as a result of an NIH career award must receive prior written approval of the institute awarding component.

F. Special Leave: Leave to another institution, including a foreign laboratory, may be permitted if directly related to the purpose of the award. Only local, institutional approval is required if such leave does not exceed 3 months. For longer periods, prior written approval of the NIH funding component is required. To obtain prior approval, the award recipient must submit a letter to the NIH describing the plan, countersigned by his or her department head and the appropriate institutional official. A copy of a letter or other evidence from the institution where the leave is to be taken must be submitted to assure that satisfactory arrangements have been made. Support from the career award will continue during such leave.

Leave without award support may not exceed 12 months. Such leave requires the prior written approval of the NIH funding component and will be granted only in unusual situations. Support from other sources is permissible during the period of leave. Such leave does not reduce the total number of months of program support for which an individual is eligible. Parental leave will be granted consistent with the policies of the NIH and the grantee institution.

G. Termination or Change of Institution: When a grantee institution plans to terminate an award, the NIH funding component must be notified in writing at the earliest possible time so that appropriate instructions can be given for termination. If the individual is moving to another eligible institution, career award support may be continued provided:

A new career award application is submitted by the new institution;

The period of support requested is no more than the time remaining within the existing award period; and

The new application is submitted far enough in advance of the requested effective date to allow the necessary time for review.

The funding component may require a new review by an initial review group and/or the appropriate national advisory council or board.

Alternatively, review may be carried out by staff within the NIH funding component depending upon the circumstances.

The Director of the NIH may discontinue an award upon determination that the purpose or terms of the award are not being fulfilled. In the event an award is terminated, the Director of the NIH shall notify the grantee institution and career award recipient in writing of this determination, the reasons therefore, the effective date, and the right to appeal the decision.

A final progress report, invention statement, and Financial Status Report are required upon either termination of an award or relinquishment of an award in a change of institution situation.

INCLUSION OF WOMEN AND MINORITIES IN RESEARCH INVOLVING HUMAN SUBJECTS

It is the policy of the NIH that women and members of minority groups and their subpopulations must be included in all NIH supported biomedical and behavioral research projects involving

human subjects, unless a clear and compelling rationale and justification is provided that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. This new policy results from the NIH Revitalization Act of 1993 (Section 492B of Public Law 103-43) and supersedes and strengthens the previous policies (Concerning the Inclusion of Women in Study Populations, and Concerning the Inclusion of Minorities in Study Populations) which have been in effect since 1990. The new policy contains some new provisions that are substantially different from the 1990 policies. All investigators proposing research involving human subjects should read the "NIH Guidelines For Inclusion of Women and Minorities as Subjects in Clinical Research," which have been published in the Federal Register of March 28, 1994 (FR 59 14508-14513), and reprinted in the NIH GUIDE FOR GRANTS AND CONTRACTS of March 18, 1994, Volume 23, Number 11.

Investigators may obtain copies from these sources or from the program staff or contact person listed under INQUIRIES. Program staff may also provide additional relevant information concerning the policy.

APPLICATION PROCEDURES

This is a generic program announcement for the NIH Independent Scientist Award (ISA). Since some of the NIH institutes and centers may not participate in this program or may have different award provisions, it is strongly recommended that prospective applicants contact the staff person in the relevant institute or center listed under "INQUIRIES" early in the planning phase of application preparation. Such contact will help ensure that applications are responsive to the career development goals of individual institutes and centers.

Applications are to be submitted on form PHS 398 (rev. 9/91) and will be accepted on or before the receipt deadlines indicated in the application kit (February 1, June 1 and October 1). Forms are available at most institutional offices of sponsored research and from the Office of Grants Information, Division of Research Grants, NIH, 5333 Westbard Avenue, Room 449, Bethesda, MD 20892, telephone 301/435-0714.

The application must address the following issues:

Candidate

- o Describe the candidate's commitment to a career in biomedical or behavioral research

- o Document the candidate's success as an independent investigator and his/her potential to make future contributions to the chosen field of research.
- o Describe immediate and long-term career objectives. Explain how this award will contribute to these goals.
- o Describe how the Independent Scientist Award will further the candidate's research career and ultimate impact on science.

Career Development Plan

- o Describe the career development plan, incorporating consideration of the candidate's goals and prior experience.
- o The candidate must describe plans to participate in courses related to instruction in the responsible conduct of research. These plans must detail the proposed subject matter, format, frequency, and duration of instruction as well as the amount and nature of the candidate's participation. No award will be made if an application lacks this component;

Research Plan

- o Describe the research plan as outlined in form PHS 398 including sections on the Specific Aims, Background and Significance, Progress Report/ Preliminary Studies, Research Design and Methods.

Environment and Institutional Commitment

- o The application must contain evidence of the applicant institution's commitment to the career enhancement of the candidate. Indicate the types of facilities, supplies, equipment, and human resources that will be made available to the applicant. Provide assurance that the candidate will be able to devote 75 percent of his/her full-time professional effort to research related activities.

Budget

- o Budget requests must be provided according to the instructions in form PHS 398. The request for tuition and fees, books, travel, etc., must be justified and specified by category.

To identify the application as a response to this program announcement, check "yes" on item 2a of page 1 of the application and enter "PA-95-050, Independent Scientist Award" and the name of the NIH institute or center that you would like your application to be assigned for funding.

Submit a signed, typewritten original of the application with Checklist, and five signed photocopies, in one package to:

Division of Research Grants
National Institutes of Health
6701 Rockledge Drive, Room 1040 MSC 7710
Bethesda, MD 20892-7710
Bethesda, MD 20817 (for express/courier service)

REVIEW CONSIDERATIONS

Applications will be reviewed for completeness by the Division of Research Grants and responsiveness to the program announcement by the appropriate institute or center staff. Incomplete or nonresponsive applications will be returned to the applicant without further consideration. Applications that are complete and responsive to the program announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened in accordance with the standard NIH peer review procedures. As part of the initial merit review, all applications will receive a written critique and undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed, assigned a priority score, and receive a second level review by the appropriate national advisory council or board.

The following review criteria will be applied:

Candidate

- o Capacity to carry out independent research;
- o Potential to become an outstanding scientist who will make significant contributions to the field;
- o Past and present research productivity as evidenced by contributions to the scientific literature, and success in obtaining independent funding;

- o Ability to conceptualize and organize a long-term research approach; and
- o Level of training, experience, and competence commensurate with the purposes of the award.

Career Development Plan

- o Likelihood that the award will contribute substantially to the continued scientific development and productivity of the candidate;
- o The extent to which the award will enable a candidate to devote full time to research and related duties by release from teaching, administration, clinical work, and other responsibilities;
- o Consistency of the career development plan with the candidate's career goals; and
- o Collaboration with other active investigators and opportunities for professional growth.

Research Plan

- o Quality of research plan and significance for contributing to the scientific literature;
- o Scientific and technical merit of the proposed research plan; and
- o adequacy of plans to include both genders and minorities and their subgroups as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated.

Environment and Institutional Commitment

- o Institutional commitment to the development of the candidate as an independent scientist and assurances that the institution intends the candidate to be an integral part of its research and academic program; and
- o Strength of the institution's commitment to scientific research.

Budget

- o Justification of budget requests in relation to career development goals and research aims and plans.

AWARD CRITERIA

The institute or center will notify the applicant of the board or council's action shortly after its meeting. Funding decisions will be made based on the recommendations of the initial review group and council/board, the need for research personnel in specific program areas, and the availability of funds.

INQUIRIES

Written and telephone inquiries concerning this PA are encouraged especially during the planning phase of the application. Below is a listing of each institute's or center's program or grants management contacts.

Dr. Robin A. Barr
Office of Extramural Affairs
National Institute on Aging
Gateway Building, Room 2C218, MSC 9205
7201 Wisconsin Avenue
Bethesda, MD 20892-9205
Telephone: (301) 496-9322
FAX: (301) 402-9245
Email: Barr@nihniagw.bitnet

Dr. Ernestine D. Vanderveen, Ph.D.
Division of Basic Research
National Institute on Alcohol Abuse and Alcoholism
6000 Executive Boulevard, Suite 402 MSC 7003
Bethesda, MD 20892-7003
Telephone: (301) 443-1273
FAX: (301) 594-0673
Email: tvanderv@willco.niaaa.nih.gov

Ms. Frances Cotter
Division of Clinical and Prevention Research

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Bethesda, MD 20892-7003
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FAX: (301) 443-8744
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Dr. Mary C. Dufour
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Bethesda, MD 20892-7003
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FAX: (301) 443-8614
Email: m.dufour@willco.niaaa.nih.gov

Dr. Milton Hernandez
Office of Scientific Training and Manpower Development
National Institute of Allergy and Infectious Diseases
Solar Building, Room 3C21
Bethesda, MD 20892
Telephone: (301) 496-7291
FAX: (301) 402-0369
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Richard Lymn, Ph.D.
Extramural Programs
National Institute on Arthritis and Musculoskeletal and Skin Diseases
Natcher Building, Room 5AS-49E
45 Center Drive, MSC 6500
Bethesda, MD 20892-6500
Telephone: (301) 594-5128
FAX: (301) 480-4543
Email: rl28b@nih.gov

Hildegard Topper
Special Assistant to the Deputy Director

National Institute of Child Health and Human Development Building 31,
Room 2A-03
Bethesda, MD 20892
Telephone: (301) 496-0104
FAX: (301) 402-1104
Email: topperh@hd03.nichd.nih.gov

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Executive Plaza South, Room 400B-13
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Telephone: (301) 496-1804
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Email: Daniel_Sklare@nih.gov

Dr. James A. Lipton
Special Assistant for Training and Career Development
National Institute of Dental Research
Natcher Building, Room 4AN.18J
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Telephone: (301) 594-2618
FAX: (301) 480-8319
Email: liptonj@de45.nidr.nih.gov

Ronald Margolis, Ph.D.
Division of Diabetes, Endocrinology, and Metabolic Diseases National
Institute of Diabetes and Digestive and Kidney Diseases Natcher
Building, Room 5AN-12J MSC 6600
Bethesda, MD 20892-6600
Telephone: (301) 594-8819
FAX: (301) 480-3503
Email: margolis@ep.niddk.nih.gov

Charles Rodgers, Ph.D.
Division of Kidney, Urologic, and Hematologic Diseases
National Institute of Diabetes and Digestive and Kidney Diseases
Natcher Building, Room 6AS-19J MSC 6600

Bethesda, MD 20892-6600
Telephone: (301) 594-7717
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Charles W. Sharp, Ph.D.
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Telephone: (301) 443-1887
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Dr. Michael Galvin
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FAX: (301) 594-6784
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Kenneth G. Lutterman, Ph.D.

Division of Epidemiology and Services Research

National Institute of Mental Health

5600 Fishers Lane, Room 10-95

Rockville, MD 20857

Telephone: (301) 443-3373

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Henry Khachaturian, Ph.D.

Division of Neuroscience and Behavioral Science

National Institute of Mental Health

5600 Fishers Lane, Room 11-103

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Email: hkhach@helix.nih.gov

Leonard Mitnick, Ph.D.

Office of AIDS Programs

National Institute of Mental Health

5600 Fishers Lane, Room 10-75

Rockville, MD 20857

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AUTHORITY AND REGULATIONS

The Independent Scientist Awards are made under the authority of Title III, Section 301 of the Public Health Service (PHS) Act as amended (Public Law 78-410, as amended, 42 USC 241). The Code of Federal Regulations, Title 42 Part 52, and Title 45 part 74, are applicable to this program. This program is described in the Catalog of Federal Domestic Assistance No. 93.121. This program is not subject to the intergovernmental review requirements of Executive Order 12372 or Health Systems Agency review.

The PHS strongly encourages all grant and contract recipients to provide a smoke-free workplace and promote the non-use of all tobacco products. In addition, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

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